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TRANSMITTAL **FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission 5 + 7 references + Japanese Office Action

Application Number	09/935,027	10
Filing Date	August 22, 2001	只 3 吊
First Named Inventor	Mikihiro Shimada	(1 2
Art Unit	2872	
Examiner Name	Euncha P. Cherry	1000
Attorney Docket No.	MTS-3270US	C.

	ENCLOSURES (Check all that apply	()
Fee Transmittal Form Fee Attached	Drawing(s) Licensing-related Papers	After Allowance Communication to Group
Amendment/Reply After Final	Petition	Appeal Communication to Boal of Appeals and Interferences
Affidavits/Declaration(s)	Petition to Convert to a Provisional Application	Appeal Communication to Grou (Appeal Notice, Brief, Reply Brief)
Extension of Time Request	Power of Attorney, Revocation, Change of Correspondence Address	Proprietary Information
Express Abandonment Request	Terminal Disclaimer	Status Letter Other Enclosure(s) (please
Information Disclosure Statement Certified Copy of Priority Document(s)	Request for Refund	identify below):
Response to Missing Parts/	CD, Number of CD(s)	Return Postcard
Incomplete Application	Remarks:	
Response to Missing Parts under 37 CFR 1.52 or 1.53		
SIGNATURE	OF APPLICANT, ATTORNEY OR AG	GENT
Firm or Individual Allan Ratner	Registration No. (Attorney/Ag	
Signature Date October 22, 2003		
CERTIFI	CATE OF TRANSMISSION / MAILING	
I hereby certify that this correspondence is being facsimile postage as first class mail in an envelope addressed to: Co VA 22313-1450 on this date:	transmitted to the USPTO or deposited with the Un	nited States Postal Service with sufficient a,
Name (Print/Type) Allan Ratner	Q_{λ}	October 22, 2003
Signature		Date October 22, 2003

This collection of information is required by 3/ CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, ALEXANDRIA, VA 22313-1450.

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No.: 09/935,027

OCT 2 7 2003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

icant:

09/935,027

Mikihiro Shimada et al.

Filed:

August 22, 2001

Title:

OPTICAL ELEMENT AND METHOD OF FABRICATION THEREOF

TC/A.U.:

2872

Examiner:

Euncha P. Cherry

Confirmation No.: 9204

Docket No.:

MTS-3270US

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents P. O. Box 1450 Alexandria, VA 22313-1450 SIR:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the Form PTO-1449 (RP) submitted herewith. A copy of each of the listed references is also enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

The following references are not in the English language:

- 1) JP 11-223735
- 2) JP 10-148729
- 3) JP 08-320422
- 4) JP 63-250607
- 5) JP 11-023875
- 6) JP 10-090539

References 1) to 6) include English language abstracts.

Reference 5) includes a U.S. corresponding patent.

References 1) to 4) and 6) include partial English translations.

References 1) to 6) were cited in a Japanese Office Action in a patent application corresponding to the above-identified patent application. A copy of this Office Action, which indicates the degree of relevance found by the foreign office, is transmitted herewith.

STATEMENT

The undersigned hereby states that each item of information disclosed in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

RatnerPrest

Allan Rather, Reg. No. 19717 Attorney for Applicants

AR/kc

Enclosures:

Form PTO-1449

(7) References

Chinese Office Action

Dated: October 22, 2003

P.O. Box 980 Valley Forge, PA 19482-0980 (610) 407-0700

The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

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October 22, 2003

Substitute for Form 1449A/PTO

SHEET 1 of 2

INFORMATION DISCL STATEMENT BY APPLICANT

(Use as many sheets as necessary)

	Complete if	Known	\
Application Number	09/935,027	0 00	
Filing Date	August 22, 2001		_
First Named Inventor	Mikihiro Shimada	5 5	_
Art Unit	2872		_
Examiner Name	Euncha P. Cherry		_
Attorney Docket No.	MTS-3270US	C.	$\overline{\mathcal{I}}$

			U.S. PATENT	OCUMENTS	
Examiner	Cita	Document Number	Issue Date/		Pages Columns Lines IIII
Initials*	Cite No.1	Number - Kind Code ^{2 (if known)}	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-5,949,943 (corresponds to JP 11- 023875)	09/07/1999	Watanabe et al.	Entire Document
		US-			

		FOREIGN PA	TENT DOCUMEN	TS		
Examiner Initials*	Cite	Foreign Patent Document Country Code ³ - Number ⁴ - Kind Code ⁵ (If known)	Publication Date	Name of Patentee or Applicant of Cited	Pages, Columns, Lines, Where Relevant Passages or Relevant	
		JP 11-223735 (w/English abstract,	(MM-DD-YYYY)	Document	Figures Appear	1
		partial English translation)	08/17/1999	Nippon Telegr & Teleph Corp	Entire Document	
		JP 10-148729 (w/English abstract, . partial English translation)	06/02/1998	Nippon Telegr & Teleph Corp	Entire Document	
		JP 08-320422 (w/English abstract, partial English translation)	12/03/1996	Fujitsu Ltd	Entire Document	
		JP 63-250607 (w/English abstract, partial English translation)	10/18/1988	Seiko Epson Corp	Entire Document	
		JP 11-023875 (corresponds to USP 5,949,943)	01/29/1999	Toyota Central R&D Lab Inc	Entire Document	
		JP 10-090539 (w/English abstract, - partial English translation)	04/10/1998	Nippon Telegr & Teleph Corp	Entire Document	

Examiner		
Signature	Date	
	Considered	

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^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. ¹Applicant's unique citation designation number (optional).

See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.

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³Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

⁶Applicant is to place a check mark here if English language translation is attached.

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OCT 2 7 2003 TA TRADEMAS Substitute for Form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

SHEET 2 of 2

	Complete if I	Known
Application Number	09/935,027	
Filing Date	August 22, 2001	0, 0, 0
First Named Inventor	Mikihiro Shimada	
Art Unit	2872	
Examiner Name	Euncha P. Cherry	
Attorney Docket No.	MTS-3270US	43

Considered

		NON-PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	-
		Japanese Office Action for Japanese Application 2001-250819 mailed July 29, 2003]
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

Applicant's unique citation designation number (optional).

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